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Attorney Docket P0645P4D2C3  
PATENT

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JC913 U.S. PTO

JC929 U.S. PTO  
09/27/00  
11/21/00

CERTIFICATION UNDER 37 CFR 1.10

EL142012696US: Express Mail Number

November 21, 2000: Date of Deposit

I hereby certify that this Non-provisional Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Box PATENT APPLICATION, Director of Patents and Trademarks, Washington, DC 20231.

*Glory L. Tabuena*  
Glory L. Tabuena

DT  
01-25-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION  
Director of Patents and Trademarks  
Washington, DC 20231

NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

- Lisa J. Garrard, Burlingame, California
- Dennis J. Henner, Pacifica, California
- Steven H. Bass, Hillsborough, California
- Ronald Greene, Durham, North Carolina
- Henry B. Lowman, El Granada, California
- James A. Wells, Burlingame, California
- David J. Matthews, San Francisco, California

Title: **ENRICHMENT METHOD FOR VARIANT PROTEINS WITH ALTERED BINDING PROPERTIES**

1. Type of Application

- ☐ This application is for an original, non-provisional application.
- ☐ This is a non-provisional application claiming priority to provisional application no. \_\_, filed \_\_, the entire disclosure of which is hereby incorporated by reference.
- ☒ This is a ☐ continuation-in-part ☒ continuation ☐ divisional application claiming priority to application Serial Number 08/922,345, filed September 3, 1997, the entire disclosure of which is hereby incorporated by reference.

2. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional)

72 pages of specification

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8 pages of claims  
1 page(s) of abstract  
20 sheet(s) of drawings  
[X] formal ☐ informal

**3. Declaration or Oath**

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)  
☐ An executed declaration of the inventor(s) ☐ is enclosed ☐ will follow.

(for Cont./Div. where inventorship is the same or inventor(s) being deleted)  
X A copy of the executed declaration/oath filed in the prior application is enclosed  
(37 CFR 1.63(d)).

(for Cont./Div. where inventor(s) being deleted)  
☐ A signed statement is attached deleting inventor(s) named in the prior  
application (see 37 CFR 1.63(d)(2) and 1.33(b)).

**4. Assignment**

(for new and CIP applications)  
☐ An Assignment of the invention to GENENTECH, INC. ☐ is enclosed with  
attached Recordation Form Cover Sheet ☐ will follow.

(for cont./div.)  
X The prior application is assigned of record to Genentech, Inc.

**5. Amendments (for continuation and divisional applications)**

X Cancel in this application original claims 2-52 of the prior application before calculating the  
filing fee. (At least one original independent claim must be retained for filing purposes.)

X A preliminary amendment is enclosed. (Claims added by this amendment have been  
properly numbered consecutively beginning with the number next following the highest  
numbered original claim in the prior application.)

**Relate Back -- 35 U.S.C. 120 or 35 U.S.C. 119**

X Amend the specification by inserting before the first line the sentence:

--This is a

☐ non-provisional application  
X continuation  
☐ divisional  
☐ continuation-in-part

of co-pending application(s)

- X Serial No. 09/922,345 filed on September 3, 1997, which is a continuation application of U.S. Application Serial No. 08/463,587 filed June 5, 1995, now U.S. 5,821,047; which is a divisional application of U.S. Application Serial No. 08/050,058 filed April 30, 1993, now U.S. 5,750,373; which is a 371 of International Application No. PCT/US91/09133 filed December 3, 1991; which is a continuation-in-part of U.S. Application Serial No. 07/743,614 filed August 9, 1991, now abandoned; which is a continuation-in-part of U.S. Application Serial No. 07/715,300 filed June 14, 1991, now abandoned; which is a continuation-in-part of U.S. Application Serial No. 07/683,400 filed April 10, 1991 now abandoned; which is a continuation-in-part of U.S. Application Serial No. 07/621,667 filed December 3, 1990, now abandoned; and which application(s) is(are) incorporated herein by reference and to which application(s) priority is claimed under 35 USC §120. --
- \_\_\_\_\_ International Application \_ filed on \_\_, which designated the U.S., which application(s) is(are) incorporated herein by reference and to which application(s) priority is claimed under 35 USC §120.--
- \_\_\_\_\_ provisional application No. \_ filed \_\_, the entire disclosure of which is hereby incorporated by reference and to which application(s) priority is claimed under 35 USC §119.--

a,  
concluded

#### 6. Fee Calculation (37 CFR 1.16)

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$710.00
Total Claims	40	- 20 =	20	X \$18.00	\$360.00
Independent Claims	3	- 3 =	0	X \$80.00	\$0.00
Multiple dependent claim(s), if any				+ \$270.00	\$0.00
Filing Fee Calculation					\$1,070.00

#### 7. Method of Payment of Fees

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of **\$1,070.00. A duplicate copy of this transmittal is enclosed.**

#### 8. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

#### 9. Additional Papers Enclosed

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations  
☒ Submission of "Sequence Listing", computer readable copy, certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.  
☐ A new Power of Attorney or authorization of agent.  
☐ Other:

**10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)**  
*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

- \_\_\_\_\_ A petition, fee and/or response has been filed to extend the term in the pending prior application until  
\_\_\_\_\_ A copy of the petition for extension of time in the **prior** application is attached.

**11. Correspondence Address:**

X Address all future communications to:

GENENTECH, INC.  
Attn: Timothy R. Schwartz, Ph.D.  
1 DNA Way  
South San Francisco, California 94080-4990  
(650) 225-7467

Respectfully submitted,  
GENENTECH, INC.

By: 

Timothy R. Schwartz, Ph.D.  
Reg. No. 32,171

Date: November 21, 2000

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